

Note

On blocking sets in a design

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Abstract

In this paper we give a bound for the cardinality of an intersection set of a $2-(v, k, \lambda)$ design D . We give a new proof of Drake's inequality for the cardinality of a blocking set of D . Our proof will enable us to characterize the case of equality. We investigate the existence of the blocking sets of type $(1, s)$ in a design. We prove some non-existence theorems and give some bounds for the parameters of a design containing such a blocking set. © 1997 Elsevier Science B.V.

1. Introduction

A $2-(v, k, \lambda)$ design D ($2 < k < v$, $\lambda > 0$) is a pair (P, B) , where P is a v -set of points and B a family of k -subsets of P , called *blocks*, such that through any two points there are exactly λ blocks.

It is possible that distinct blocks could be incident with the same set of points. In this case we say that the design has repeated blocks. A design without repeated blocks is distinguished by calling it a *simple* design. In this paper the designs we treat are always simple and we omit this qualifying adjective. A design is called *complete* if every set of k points is incident with a block.

A $2-(v, k, \lambda)$ design with $\lambda = 1$ is called a Steiner system $S(2, k, v)$.

The number b of blocks and the number r of blocks through a point of a $2-(v, k, \lambda)$ design are given, respectively by

$$b = \frac{\lambda v(v-1)}{k(k-1)}, \quad r = \frac{\lambda(v-1)}{k-1}.$$

A $2-(v, k, \lambda)$ design with equally many points and blocks is called *symmetric*. It is easy to see that each point of a symmetric design is on exactly k blocks; moreover, we have $b = v = k(k-1)/\lambda + 1$.

The integer $r - \lambda$ is called the *order* of the $2-(v, k, \lambda)$ design.

An *intersection s -set* in a $2-(v, k, \lambda)$ design D is a set S of s points of P such that each block intersects S . A *blocking s -set* in a $2-(v, k, \lambda)$ design D is an intersection s -set containing no block of D . So, also the complement point set $P - S$ of a blocking s -set S is a blocking set of D . A blocking s -set S of D is called *irreducible* (or *minimal*) if the set $S - \{x\}$ is not a blocking set for all $x \in S$. We say that D is an *s -blocked design*, if s is the minimum cardinality of a blocking set in D .

The *index* of a blocking s -set S of a $2-(v, k, \lambda)$ design is the minimum number $i(S)$ of blocks whose union contains S .

Let S denote an s -set in a design D . A block meeting S in exactly i points will be called an *i -secant* block of S . The numbers t_i of i -secant blocks of S are called the *characters* of S . The set S is said to be of *class* $[m_0, m_1, \dots, m_s]$ with $0 \leq m_0 < m_1 < \dots < m_s \leq k$, if we have $t_h = 0$ for any $h \notin \{m_0, m_1, \dots, m_s\}$. If S is of class $[m_0, m_1, \dots, m_s]$ and, moreover, $t_h \neq 0$ for any $h \in \{m_0, m_1, \dots, m_s\}$, then S is said to be of *type* (m_0, m_1, \dots, m_s) .

If m and n are, respectively, the minimum and maximum cardinality of $S \cap B$ for all blocks B of D , we say that S is an $(s; m, n)$ -set of D .

It is easy to prove that the characters of an $(s; m, n)$ -set S of D satisfy the following equalities:

$$\begin{cases} \sum_{i=m}^n t_i = b, \\ \sum_{i=m}^n i t_i = rs, \\ \sum_{i=m}^n i(i-1)t_i = \lambda s(s-1). \end{cases} \quad (1)$$

Furthermore, the numbers u_i and v_i of the blocks through a point off S or through a point on S that intersect S in exactly i points, respectively satisfy the following equalities:

$$\begin{cases} \sum_{i=m}^n u_i = r, \\ \sum_{i=m}^n i u_i = \lambda s, \end{cases} \quad (2)$$

and

$$\begin{cases} \sum_{i=m}^n v_i = r, \\ \sum_{i=m}^n (i-1)v_i = \lambda(s-1). \end{cases} \quad (3)$$

We recall that in a $2-(v, k, \lambda)$ symmetric design of square order there may exist a *Baer subdesign*, that is an s -set intersected by any block in one or n points (i.e., of type $(1, n)$) with $s = [k + (k - \lambda)^{1/2}]/\lambda$ and $n = 1 + (k - \lambda)^{1/2}$.

In the study of blocking sets in a symmetric design a Baer subdesign plays an important role. We have the following:

Result 1.1 (see [15, 16]). *If S is a blocking s -set of a symmetric design D , then*

$$s \geq \frac{k + \sqrt{k - \lambda}}{\lambda}.$$

Moreover, equality holds if and only if S is a Baer subdesign of D .

Drake proved the following bound for the cardinality of a blocking set in a design.

Result 1.2 (see [16]). *Let S be a blocking set of a $2-(v, k, \lambda)$ design D . Then $k \neq 3$ and*

$$|S| \geq \frac{v}{2} - \frac{1}{2k} \sqrt{k^2 v^2 - 4k v^2 + 4k v}.$$

There are quite a few papers on blocking sets in designs (see for instance [2–8, 12–19]).

A very interesting problem in the theory of blocking sets is to determine the minimum cardinality of a blocking set in a given incidence structure. Moreover, it is interesting to know which designs contain a blocking set having a fixed index.

It is well known that in a projective or affine plane a blocking set has index at least 3. In a previous paper we proved that in a Steiner system $S(t, k, v)$ there is no blocking set of index 1 (cf. [8]). Moreover, it has been proved that any blocking set of an $S(2, k, v)$ has index at least 3 (cf. [18]).

Furthermore, the only biplane containing a blocking s -set of type $(1, s)$ and index 1 is the $2-(4, 3, 2)$ design, while each of the five $2-(15, 7, 3)$ Hadamard designs contains a blocking 3-set of type $(1, 3)$ (cf. [4, 6]). In [3] we investigated the existence of a blocking 3-set in a $2-(v, k, \lambda)$ design D . This cardinality is the minimum possible if D is different from a $2-(\lambda + 2, \lambda + 1, \lambda)$ design (cf. [3]). We established which designs, with $r \geq 2\lambda$, may contain a blocking 3-set. These blocking 3-sets have always index 1.

In Section 2 we give a bound for the cardinality of an intersection $(s; 1, n)$ -set of a design. We find again, in a different way, Drake's bound for the cardinality of a blocking set of a design; moreover, we characterize the case of equality. Finally, we prove that a $2-(v, k, \lambda)$ design with $v > (k - 1)^2$ cannot contain a blocking set of index 1.

In Section 3 we deal with the blocking s -sets of type $(1, s)$. We prove some non-existence theorems. Moreover, we establish some bounds for the parameters of a design containing a blocking s -set of type $(1, s)$.

2. Bound for the cardinality of a blocking set

We begin with the following:

Theorem 2.1. *In a $2-(v, k, \lambda)$ design D there is no blocking s -set S of type (m) .*

Proof. First, suppose that in D there is a blocking s -set S of type (1) . Then it follows that $s = 1$, and $b = r$ in view of (1), a contradiction.

Now, suppose that S is a blocking s -set of type (m) with $m > 1$. From (1) we have that $t_m = b$, $mt_m = rs$, $m(m-1)t_m = \lambda s(s-1)$, from which it follows that $mb = rs$, and $(m-1)rs = \lambda s(s-1)$. Consequently, it results that $s = v$ and $m = k$, a contradiction, since S is a blocking set. \square

It follows that

Corollary 2.2. *If S is a blocking s -set of a $2-(v, k, \lambda)$ design, then S is an $(s; m, n)$ -set with $1 \leq m < n$.*

We deal with irreducible blocking sets, so we have that $m = 1$ and $t_1 \geq s$. We prove the following bound for the cardinality of an intersection s -set of a design.

Theorem 2.3. *Let S be an intersection $(s; 1, n)$ -set of a $2-(v, k, \lambda)$ design. Then*

$$\frac{nr + \lambda - \sqrt{(nr + \lambda)^2 - 4\lambda nb}}{2\lambda} \leq s \leq \frac{nr + \lambda + \sqrt{(nr + \lambda)^2 - 4\lambda nb}}{2\lambda}. \quad (4)$$

Moreover, the equalities hold if and only if S is of type $(1, n)$.

Proof. Let S be an intersection $(s; 1, n)$ -set of a $2-(v, k, \lambda)$ design. For a fixed integer $N \geq n$, we obtain by (1) that

$$0 \leq \sum_{i=1}^n (N-i)(i-1)t_i = Nrs - Nb - \lambda s^2 + \lambda s,$$

so that

$$\lambda s^2 - (Nr + \lambda)s + Nb \leq 0. \quad (5)$$

For $N = n$ it follows that

$$\lambda s^2 - (nr + \lambda)s + nb \leq 0, \quad (6)$$

which implies (4).

Since the equality $\sum_{i=1}^n (N-i)(i-1)t_i = 0$ is verified if and only if $N = n$ and $t_i = 0$ for each i with $1 < i < n$, it follows that the equalities in (4) hold if and only if S is of type $(1, n)$. \square

By Theorem 2.3 we obtain Drake's bound [16] (cf. Theorem 1.2). In fact, we have the following theorem.

Theorem 2.4. *If an $(s; 1, n)$ -set is a blocking s -set of a $2-(v, k, \lambda)$ design D , then it holds that*

$$\frac{v}{2} - \frac{1}{2k} \sqrt{k^2 v^2 - 4kv^2 + 4kv} \leq s \leq \frac{v}{2} + \frac{1}{2k} \sqrt{k^2 v^2 - 4kv^2 + 4kv}.$$

Moreover, the equalities hold if and only if S is of type $(1, k-1)$.

Proof. If an intersection $(s; 1, n)$ -set S is a blocking s -set, then $n \leq k-1$. Putting $N = k-1$ in (5), we obtain that $s^2 - vs + v(v-1)/k \leq 0$, that is $ks^2 - kvs + v(v-1) \leq 0$, which is verified if and only if

$$\frac{v}{2} - \frac{1}{2k} \sqrt{k^2 v^2 - 4kv^2 + 4kv} \leq s \leq \frac{v}{2} + \frac{1}{2k} \sqrt{k^2 v^2 - 4kv^2 + 4kv}.$$

Moreover, in view of Theorem 2.3 equality on the left hand or on the right hand side holds if and only if S is of type $(1, k-1)$. \square

In the next theorem we deal with blocking sets of index 1.

Theorem 2.5. *Let S be a blocking $(s; 1, n)$ -set of index 1 of a $2-(v, k, \lambda)$ design D . Then*

$$s \geq \frac{v-1}{k} + 1.$$

Moreover, equality holds if and only if S is of type $(1, s)$.

Proof. If S is a blocking $(s; 1, n)$ -set of index 1, then S is an intersection $(s; 1, s)$ -set. By (6) we have that $\lambda s^2 - (sr + \lambda)s + sb \leq 0$, from which it follows that $(\lambda - r)s - \lambda + b \leq 0$. Thus,

$$s \geq \frac{b - \lambda}{r - \lambda} = \frac{v-1}{k} + 1.$$

So, the assertion is proved. \square

Corollary 2.6. *If in a $2-(v, k, \lambda)$ design D there exists a blocking s -set S of index 1, then $v \leq (k-1)^2$.*

Proof. If S is a blocking s -set of D of index 1, then $s < k$. So, from Theorem 2.5 we have that $(v-1)/k + 1 \leq s \leq k-1$, which implies that $v \leq (k-1)^2$. \square

Corollary 2.7. *For a fixed positive integer k there are only finitely many $2-(v, k, \lambda)$ designs having a blocking set of index 1.*

The bound of Corollary 2.6 on v for the existence of a blocking set of index 1 is better than the bound found in [18].

3. Blocking s -sets of type $(1, s)$

In this section we deal with blocking s -sets of type $(1, s)$ in $2-(v, k, \lambda)$ designs D . In the sequel we consider $2-(v, k, \lambda)$ designs D that are not $2-(\lambda + 2, \lambda + 1, \lambda)$ designs. Consequently, a blocking set has at least three points (cf. [3]). Moreover, if a $2-(v, k, \lambda)$ design contains a blocking set, then $k > 3$ (cf. [16, 18]). We begin with a consequence of Theorem 2.5.

Theorem 3.1. *If a $2-(v, k, \lambda)$ design D contains a blocking s -set S of type $(1, s)$, then $v = (s - 1)k + 1$.*

Proof. The assertion follows from Theorem 2.5. \square

Hence, a $2-(v, k, \lambda)$ design D containing a blocking s -set of type $(1, s)$ has $v = \rho k + 1$, with $\rho = s - 1$, and $1 \leq \rho \leq k - 2$.

In particular, from Theorem 3.1 we obtain the following well-known result.

Corollary 3.2. *If a symmetric $2-(v, k, \lambda)$ design D contains a blocking s -set of type $(1, s)$, then $\lambda \geq 2$.*

Proof. If D is a symmetric $2-(v, k, \lambda)$ design, in view of Theorem 3.1 we have $v = k(k - 1)/\lambda + 1 = \rho k + 1$, from which it follows that $\rho = (k - 1)/\lambda$. Since $\rho \leq k - 2$, it holds that $\lambda \geq (k - 1)/(k - 2) > 1$. \square

Now we deal with some particular cases.

Theorem 3.3. *Let D be a $2-(\rho k + 1, k, \lambda)$ design with $k = p + 1$, p a prime, and $1 \leq \rho \leq k - 2$. If D contains a blocking s -set S of type $(1, s)$, then $\rho = 1$ and $\lambda = p$.*

Proof. Since $r = \rho k \lambda / (k - 1)$ is an integer and $\gcd(k - 1, k) = 1$, it follows that $\rho \lambda = \alpha(k - 1)$, where $\alpha \geq 1$ is an integer. Since $k - 1 = p$, and $\rho \leq k - 2$, we have that $\lambda = k - 1$. So, $r = \rho(p + 1)$.

If P is a point off S , from (2) we see that $(s - 1)u_s = \lambda s - r$. Since $s = \rho + 1$, $\lambda = p$, and $r = \rho(p + 1)$, we obtain that $\rho u_s = p - \rho$. Since u_s is an integer, and $\rho \leq p - 1$, it follows that $\rho = 1$, and D is a $2-(p + 2, p + 1, p)$ design. \square

Theorem 3.4. *The only $2-(k + 1, k, \lambda)$ design D containing a blocking s -set of type $(1, s)$ is the complete $2-(k + 1, k, k - 1)$ design. Moreover $s = 2$.*

Proof. Since D has $r = k\lambda/(k-1)$, necessarily $\lambda = k-1$. Clearly, a simple $2-(k+1, k, k-1)$ design is complete. Moreover, $s=2$ in view of Theorem 2.5. \square

Theorem 3.5. *In a $2-((k-1)^2, k, \lambda)$ design D , with $\lambda \leq k$, there is no blocking s -set of type $(1, s)$.*

Proof. Suppose that in a $2-((k-1)^2, k, \lambda)$ design there is a blocking s -set of type $(1, s)$. Then, in view of Theorem 2.5, $s = k-1$. Since $r = k(k-2)\lambda/(k-1)$ is an integer, it follows that $\lambda = k-1$. Moreover, from (2) we have that $u_{k-1} = 1/(k-2)$. Since $k > 3$, it follows that u_{k-1} is not an integer, a contradiction. \square

Now we consider the $2-(\rho k + 1, k, \lambda)$ designs with $2 \leq \rho \leq k-3$, and $k \neq \rho+1$ for any prime p . We prove the following:

Theorem 3.6. *If in a $2-(\rho k + 1, k, \lambda)$ design D with $2 \leq \rho \leq k-3$ there is a blocking s -set S of type $(1, s)$, then it holds that $\rho \leq \lambda-1$ and $k \leq \lambda^2 - \lambda + 1$.*

Proof. Since $r = \rho k\lambda/(k-1)$, and $\gcd(k, k-1) = 1$, it follows that $\rho\lambda = \alpha(k-1)$, where $\alpha \geq 1$ is an integer. Being $\rho\lambda \leq \lambda(k-3)$, it holds that $\alpha \leq \lambda(k-3)/(k-1) < \lambda$. The number u_s of blocks through a point off S that intersects S in exactly s points is

$$u_s = \lambda - (\alpha k - \lambda)/\rho = \lambda - (\rho\lambda + \alpha - \lambda)/\rho = (\lambda - \alpha)/\rho.$$

Since $\alpha < \lambda$, it follows that each point of $D-S$ satisfies $u_s \geq 1$, which implies $\lambda - \alpha \geq \rho$. So, we have that $1 \leq \alpha \leq \lambda - \rho$, from which we obtain $\rho \leq \lambda - 1$.

From the inequalities $k \leq r = \alpha k = \rho\lambda + \alpha \leq \rho\lambda + \lambda - \rho \leq \lambda^2 - \lambda + 1$ it follows that $k \leq \lambda^2 - \lambda + 1$. So, the assertion is proved completely. \square

From Theorem 3.6 we have the following consequence.

Corollary 3.7. *If in a $2-(\rho k + 1, k, \lambda)$ design D there exists a blocking s -set of type $(1, s)$, then the blocks through the s points of the blocking set cover D .*

The following theorem is about the symmetric case.

Theorem 3.8. *Let D be a $2-(v, k, \lambda)$ symmetric design different from a $2-(\lambda+2, \lambda+1, \lambda)$ design D_λ . Suppose that D contains a blocking s -set S of type $(1, s)$. Then D is a $2-((\lambda^2 - \lambda - \alpha\lambda + 1)(\lambda - \alpha - 1) + 1, (\lambda^2 - \lambda - \alpha\lambda + 1), \lambda)$ design, where α is an integer with $0 \leq \alpha \leq \lambda-3$. Moreover, if $\lambda < 5$, then it holds that $\alpha = 0$ and $s = \lambda$; if $\lambda \geq 5$, then we have that either $\alpha = 0$ or $\alpha = j(\lambda-1)/(j+1)$, where j is an integer with $1 \leq j \leq (\lambda-3)/2$, such that $j+1$ divides $\lambda-1$. In this case we have that $s = \lambda - \alpha$.*

Proof. In view of Theorem 3.6, D is a $2-(\rho k + 1, k, \lambda)$ design, with $2 \leq \rho \leq \lambda - 1$ and $k \leq \lambda^2 - \lambda + 1$. Put $k = \lambda^2 - \lambda + 1 - \beta$, where β is an integer with $0 \leq \beta \leq \lambda^2 - 2\lambda$.

If D is a symmetric design, Theorem 2.5 implies that $s = \lambda - \beta/\lambda$. Then $\beta = \alpha\lambda$, where $\alpha \geq 0$ is an integer.

Moreover, it holds that $s \geq 3$, since D is different from D_λ (cf. [3]). Consequently, $\alpha \leq \lambda - 3$, so that $0 \leq \alpha \leq \lambda - 3$.

If P is a point off S , then (2) implies that $u_s = u_{\lambda-\alpha} = (\lambda-1)/(\lambda-\alpha-1) = 1 + \alpha/(\lambda-1-\alpha)$. Since $u_{\lambda-\alpha}$ is an integer, we have that either $\alpha = 0$ or $\alpha = j(\lambda-1)/(j+1)$, where j is an integer with $1 \leq j \leq (\lambda-3)/2$, which implies that $\lambda \geq 5$. Since $\gcd(j, j+1) = 1$, $j+1$ divides $\lambda-1$.

Finally, the equalities $s = \lambda$ or $s = \lambda - \alpha$ follow by Theorem 2.5. \square

The previous theorem implies the following consequence.

Corollary 3.9. *Let D be a $2-(v, k, \lambda)$ symmetric design with $\lambda = p+1$, p a prime. If D contains a blocking s -set of type $(1, s)$, then D is a $2-(p^3 + p^2 + p + 1, p^2 + p + 1, p + 1)$ design and $s = p + 1$.*

Proof. Use the same notation as in the proof of Theorem 3.8. The hypothesis $\lambda = p+1$ implies that the unique possible case is $\alpha = 0$. So, the assertion follows. \square

We conclude with the following remarks.

Remark 3.10. The design $\text{PG}_2(3, q)$ is a $2-((\lambda-1)(\lambda^2 - \lambda + 1) + 1, \lambda^2 - \lambda + 1, \lambda)$ symmetric design with $\lambda = q + 1$, $q = p^h$, p a prime. In $\text{PG}_2(3, q)$ the only blocking $(q+1)$ -set of type $(1, q+1)$ is a line of $\text{PG}_2(3, q)$ (cf. [19]).

Remark 3.11. A $2-((\lambda^2 - \lambda - \alpha\lambda + 1)(\lambda - \alpha - 1) + 1, (\lambda^2 - \lambda - \alpha\lambda + 1), \lambda)$ design D is a Hadamard design if either $\alpha = 0$ and $\lambda = 3$, or $\alpha = \lambda - 3$. If $\alpha = 0$, D is a $2-(15, 7, 3)$ design. We proved that each of the five $2-(15, 7, 3)$ Hadamard designs contains a blocking 3-set. Moreover, a blocking 3-set in a $2-(15, 7, 3)$ Hadamard design is a Baer subdesign (cf. [6]).

Remark 3.12. In [3] we investigated the problem of the existence of a blocking 3-set in a design. We proved that if a blocking 3-set exists in a $2-(v, k, \lambda)$ design D , with $r \geq 2\lambda$, then D is one of the following designs: a $2-(2\lambda + 3, \lambda + 1, \lambda)$, a $2-(2(\lambda + 1), \lambda + 1, \lambda)$, a $2-(2\lambda - 1, \lambda, \lambda)$, a $2-(4\lambda + 3, 2\lambda + 1, \lambda)$ Hadamard design with λ odd, or a $2-(4\lambda - 1, 2\lambda, \lambda)$ Hadamard design. In any case, a blocking 3-set has index one.

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